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PTO/SB/08A (10-96)
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Substitute for form 1449A/PTO				Complete if Known Application Number 09/854,188 Filing Date 5/10/2001 First Named Inventor Kleiman Group Art Unit NYA 217 Examiner Name NYA U. LE Attorney Docket Number 103.1068.01	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)					
Sheet	1	of	1		

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Examiner Signature	UYEN LE	Date Considered	20 Sept 04
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Sheet

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of

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Filing Date	July 31, 1998
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First Named Inventor	Steve Kleiman et al
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Group Art Unit	2784	2171
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Examiner Name	Not Assigned U. LE
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Attorney Docket Number	NAP-013
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**Examiner
Signature**

UYEN LE

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	09/127,497
				Filing Date	July 31, 1998
				First Named Inventor	Steve Kleiman et al
				Group Art Unit	2784-2171
				Examiner Name	Not Assigned U. LE
Sheet	1	of	2	Attorney Docket Number	NET-013

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Substitute for form 1449B PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/127,497
		Filing Date	July 31, 1998
		First Named Inventor	Steve Kleiman et al
		Group Art Unit	2784 2171
		Examiner Name	Not Assigned U. LE
Sheet 2	of 2	Attorney Docket Number	NET-013

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
UL		Borr A J: "SecureShare: safe Unix/Windows file sharing through multiprotocol locking" Proceeding of the 2nd Usenix Windows NT Symposium, proceedings of 2nd Usenix Windows NT Symposium, Seattle, WA, USA, 3-5 Aug., 1998, pages 117-126, XP002097387 ISBN 1-880446-95-2, 1998, Berkeley, CA, USA, Usenix Assoc. USA	
UL		Tanner J: "CIFS: Common Internet File System" Unix Review, vol. 31, February 1997, pages 31/32, 34, XPOOO783952 see whole document, relevant to claim no. 1-38	

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Sheet 1 of 2

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Application Number	09/127,497
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Filing Date	July 31, 1998
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First Named Inventor	Kleiman et al
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Group Art Unit	2784 2171
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Examiner Name	Not-Assigned
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Attorney Docket Number	NET-013
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U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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Substitute for form 1449B/PTO

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Sheet	2	of	2
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Filing Date	July 31, 1998
First Named Inventor	Kleiman et al
Group Art Unit	2784 3171
Examiner Name	Not Assigned U. LE
Attorney Docket Number	NET-013

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

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Sheet 2 of 11

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Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
9/11		4,742,450		Duvall et al	5/03/88	
		4,761,737		Duvall et al	8/02/88	
		4,761,785		Clark et al	8/02/88	
		4,766,534		DeBenedicts	8/23/88	
		4,780,821		Crossley	10/25/88	
		4,783,730		Fischer	11/08/88	
		4,803,621		Kelly	2/07/89	
		4,819,159		Shipley et al	4/04/89	
		4,827,411		Arrowood	5/02/89	
		4,845,609		Lighthart et al	7/04/89	
		4,875,159		Cary et al	10/17/89	
		4,887,204		Johnson et al	12/12/89	
		4,897,781		Chang et al	1/30/90	
		4,914,583		Weisshaar	4/03/90	
		4,965,772		Daniel et al	10/23/90	
		4,969,118		Montoye et al	11/06/90	
		5,001,628		Johnson et al	3/19/91	
✓		3,893,024		Reins et al.	07/01/75	

FOREIGN PATENT DOCUMENTS

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First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

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Sheet 4 of 11

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
W		5,235,601		Stallmo et al	8/10/93	
		5,251,308		Steven J. Frank	10/05/93	
		5,255,270		Yanai et al	10/19/93	
		5,261,044		Dev et al	11/09/93	
		5,274,799		Brant et al	12/28/93	
		5,274,807		Hoshen et al	12/28/93	
		5,276,840		Yu	1/04/94	
		5,276,867		Kenley et al	1/04/94	
		5,317,731		Dias et al.	5/31/94	
		5,297,265		Frank et al	3/22/94	
		5,305,326		Solomon et al	4/19/94	
		5,313,626		Jones et al	5/17/94	
		5,313,646		Hendricks	5/17/94	
		5,313,647		Kaufman	5/17/94	
		5,315,602		Noya et al	5/24/94	
		5,333,305		Neufeld	7/26/94	
		5,355,453		Row et al	10/11/94	
		5,357,509		Ohizumi	10/18/94	
Y		5,319,780		Catino et al.	06/1994	

FOREIGN PATENT DOCUMENTS

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Signature

UYEN LE

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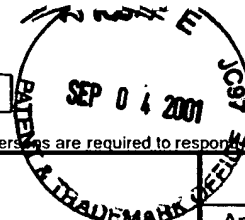
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Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

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				Filing Date	July 31, 1998
				First Named Inventor	Steven R. KLEIMAN
				Group Art Unit	2171
				Examiner Name	Uyen Le
Sheet	6	of	11	Attorney Docket Number	NAP-013

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JLL		5,630,060		Tang et al	5/13/97	
		5,634,010		Ciscon et al	5/27/97	
		5,642,501		Doshi et al	6/24/97	
		5,644,718		Belove et al	7/01/97	
		5,666,353		Klausmeiser	9/09/97	
		5,673,265		Gupta et al	9/30/97	
		5,678,006		Valizadeh	10/14/97	
		5,678,007		Hurvig	10/14/97	
		5,694,163		Harrison	12/02/97	
		5,696,486		Poliquin et al	12/09/97	
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		5,826,102		Escobar et al.	10/20/98	
		5,828,839		Moncreiff	10/27/98	
		5,854,893		Ludwig et al.	12/29/98	
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		5,856,981		Voelker	01/05/99	
		5,950,225		Kleiman	09/07/99	
		5,956,491		Marks	09/21/99	
		5,956,712		Bennett et al.	09/21/99	
V		5,957,612		Bradley	09/28/99	

FOREIGN PATENT DOCUMENTS								
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				

Examiner Signature	UYEN LE	Date Considered	20 Sept 04
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First Named Inventor	Steven R. KLEIMAN
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Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

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Sheet 7 of 11

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Sheet 8 of 11

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First Named Inventor	Steven R. KLEIMAN
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U.S. PATENT DOCUMENTS

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
gll			EP 0,308,506 A1		Otsuka et al	03/29/87		
			EP 0,321,723		Curley et al	06/28/89		
			EP 0,359,384 A2		Jones et al	06/89		
			EP 0,359,384 A3		Jones et al	03/21/90		
			EP 0,359,384 B1		Jones et al	03/21/90		
			EP 0,410,630A3		Myers et al	01/30/91		
			EP 0,453,193 A2		Frey et al	10/23/91		
			EP 0,453,193 A3		Frey et al	10/23/91		
			EP 0,462,917 A2		Bond et al	12/27/91		
			EP 0,462,917 A3		Bond et al	12/27/91		

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 9 of 11

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U.S. PATENT DOCUMENTS

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		Office ³	Number ⁴	Kind Code ⁵ (if known)				
W			EP 0,462,917 B1		Bond et al.	12/27/91		
			EP 0,477,039 A3		Nukui et al	03/25/92		
			EP 1,031,928 A2		Hitz et al	8/30/00		
			EP 0,497,067 A1		Froemke et al	08/05/92		
			EP 0,537,198 B1		Bosch	4/93		
			EP 0,552,580 A2		Styczinski	07/28/93		
			EP 0,552,580 A3		Styczinski	07/28/93		
			EP 0,566,967 A3		Cohn et al.	10/27/93		
✓			EP 0,569,313 A2		Styczinski	11/10/93		

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Sheet 10 of 11

Application Number	09/127,497
Filing Date	July 31, 1998
First Named Inventor	Steven R. KLEIMAN
Group Art Unit	2171
Examiner Name	Uyen Le
Attorney Docket Number	NAP-013

[illegible]

FOREIGN PATENT DOCUMENTS								
Examiner Initials ¹	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
W			EP 0,559,488 A2,A3,B1		Solomon et al.	09/08/92		
			H 1,860		Asthana et al.	09/05/00		
			WO 00/07104		Hitz et al	2/10/00		
			WO 00/11553		Schoenthal	3/02/00		
			WO 89/03086		Laggis et al	4/06/89		
			WO 91/13404		Jaffe et al	9/05/91		
			WO 91/13475		Nuefeld et al	7/08/93		
			WO 92/00834		Bosch	1/23/92		
			WO 94/29795		Hitz et al	12/22/94		
			WO 94/29796		Hitz et al	12/22/94		

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Sheet 11 of 11

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		Office ³	Number ⁴ Kind Code ⁵ (if known)				
			EP 0,492,808A, A2, A3	Stallmo et al.	07/01/92		
			WO 94/29807	Hitz et al	12/22/94		
			WO 98/38576	Kleiman	9/03/98		
			WO 99/30254	Borr	6/17/99		
			WO 99/45456	Hitz et al	9/10/99		
			WO 99/46680	Kleiman	9/16/99		
			WO 99/66401	Muhlestein	12/23/99		

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ML		AT & T - UNIX System V Release 4 Programmer's Guide: STREAMS NO DATE	
		AT & T Bell Laboratories TECHNICAL JOURNAL. Vol. 63 No. 08. Part 02. Dated: October 1984.	
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✓		CHERITON, DAVID R. "The Thoth System: Multi-Process Structuring and the Thoth Operating System". 1979 Pages: 1-64.	

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u		LANTZ, KEITH A. et al "Rochester's Intelligent Gateway". IEEE. October 1982.	
		LEFFLER, SAMUEL J. et al "The Design and Implementation of the 4.3 BSD UNIX Operating System". 1989	
		LIEBERMAN, HENRY & CARL HEWITT. "A Real-Time Garbage Collector Based on the Lifetime of Objects". Communication of the ACM. Volume 26. No. 06. Dated: June 1983.	
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✓		Network Appliance-Data ONTAP Event Management System. August 10, 2000.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/1127,497
		Filing Date	July 31, 1998
		First Named Inventor	Steven R. KLEIMAN
		Group Art Unit	2171
		Examiner Name	Uyen Le
		Attorney Docket Number	NAP-013
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ul		HANSON, RICHARD A. "Experiences With A Series/1 Distributed System. April 1969.	
		HARTMAN, JOHN H. & JOHN K. OUSTERHOUT. "The Zebra Striped Network File System". FAXED 27 OCTOBER 1993	
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✓		KLEIMAN. "Using NUMA Interconnects for a Highly Available Filers". IEEE Micro. 1999. Pgs.42-48	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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✓		HAMMOND, RICHARD A. "Experiences With A Series/1 Distributed System". Pages: 585-589. IEEE 1980	

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ml		Network Interfaces Programmer's Guide. Sun Microsystems, Inc. 1992.	
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ul		SANDBERG, RUSSEL "The SUN Network File System: Design, Implementation and Experience". <i>FAXED 20 SEPTEMBER 1995</i>	
		SCHROEDER W. "PEACE: The Distributed SUPRENUM Operating System". <i>1988</i>	
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		SILBERSCHATZ, ABRAHAM & JAMES L. PETERSON Operating System Concepts. 1989.	
		SINCOSKIE, W. DAVID & DAVID J. FARBER The Series/1 Distributed Operating System: Description and Comments. <i>NO DATE</i>	
		SRC 6466 External Architecture Specification Rev. 0.7. May 05, 1999.	
		SRC 6466 Protocol Specification, Rev. 0.9, Draft. August 16, 1999.	

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ul		STALLINGS, WILLIAM 5th Edition-Data and Computer Communications. 1997.	
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		USENIX Association. Proceedings of the Winter 1992 USENIX Conference. San Francisco, CA. January 20-24, 1992.	
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ml		VRTX32/68020 Versatile Real-Time Executive for the MC68020 Microprocessor. Dated: April 1987.	
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Examiner
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Atty. Docket No.
NET-013

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Statement by Applicant

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Applicant: Steven Kleiman, et al.

Filing Date: July 31, 1998

Group: 271

U.S. PATENT DOCUMENTS

Exam. Init.	Document No.	Date	Name	Class	SubClass	Filing Date

FOREIGN PATENT DOCUMENTS

Exam. Init.	Document No.	Date	Country	Class	SubClass	Translation	
						Yes	No
u ↓	US 5335235 A EP 747829 A US 5146588 A EP 756235 A EP 629956 A2 EP 629956 A3 WO 9821656 A	020894 111296 080992 290197 211294 211294 220598	↓	↓	↓		

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

u ↓	R. Nass: Connect Disk Arrays to Eisa or PCI Buses" Electronic Design, Vol. 41, no. 23, November 1993, Cleveland, OH, USA pages 152-154, XP000417908 see page 152 - page 153, right-hand column, line 10

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NET-013Serial No.
09/127,497Information Disclosure
Statement by Applicant

Applicant: Steven Kleiman, et al.

Filing Date: July 31, 1998

Group: 2171

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U.S. PATENT DOCUMENTS

Exam. Init.	Document No.	Date	Name	Class	SubClass	Filing Date

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Exam. Init.	Document No.	Date	Country	Class	SubClass	Translation	
						Yes	No
u ↓	EP 453193 A EP 359384 A	102391 032190	↓	↓	↓		

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u ↓	B. Srinivasan, et al.: "Recoverable file system for microprocessor systems" MICROPROCESSORS AND MICROSYSTEMS., Vol. 9, no. 4, May 1985, London, GB, pages 179-183, XP002031805 see page 181, left-hand column, line 12 – page 182, right-hand column, line 30

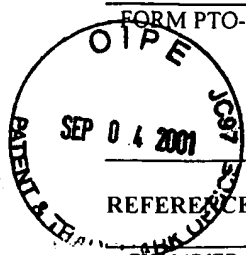
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APPLICANT Kleiman et al		
FILING DATE July 31, 1998	GROUP 2784 2171	

REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLAS	TRANSLATION	
					YES	NO

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<i>ul</i>	X	"Mapping the VM text files to the AIX text files", IBM TECHNICAL DISCLOSURE BULLETIN., Vol. 33, no. 2, July 1990 (1990-07), page 341 XP000123641, IBM CORP. NEW YORK., US ISSN: 0018-8689 – the whole document
<i>ul</i>	A	"Migrated Data Backup Utility", IBM TECHNICAL DISCLOSURE BULLETIN., vol. 37, no. 06B, June 1994 (1994-06), pages 505-507, XP000456079, IBM CORP. NEW YORK., US ISSN: 0018-8689
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FORM PTO-1449	ATTY. DOCKET NO. NAP-013	SERIAL NO. 09/127,497
APPLICANT Kleiman, et al.		
22883	FILING DATE 7/31/98	GROUP 2784 2171

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS
u	A	5,876,278	Mar. 2, 1999	Henry Cheng	454	184
	B	5,890,959	Apr. 6, 1999	Pettit, et al.	454	184
	C	5,202,983	Apr. 13, 1993	Orita, et al.	395	600
	D	5,675,782	Oct. 7, 1997	Montague, et al.	395	609
	E	4,984,272	Jan. 8, 1991	McIlroy, et al.	380	25
	F	5,617,568	Apr. 1, 1997	Ault, et al.	395	612
	G	5,144,659	Sep. 1, 1992	Richard P. Jones	380	4
	H	5,283,830	Feb. 1, 1994	Hinsley, et al.	380	25
	I	5,963,962	Oct 5, 1999	Hitz, et al.	707	202
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	K	5,222,217	June 22, 1993	Blount, et al.	395	325
✓	L	5,668,958	Sep. 16, 1997	Bendert, et al.	710	128
	M	5,931,935	Aug 3, 1999	Calbrera, et al.	710	260

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								YES	NO

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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<i>W</i>	N	5,572,711	Nov. 5, 1996	Hirsch, et al.	395	500
	O	5,915,087	June 22, 1999	Hammond, et al.	395	187.01
	P	4,825,354	Apr. 25, 1989	Agrawal, et al.	364	200
	Q	5,689,701	Nov. 18, 1997	Bradford, et al.	395	610
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	T	5,825,877	Oct. 20, 1998	Dan, et al.	380	4
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<i>W</i>		1-273395	11-1989	Japan	Endo	361	695		

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22883

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<i>RL</i>	A	5,649,152	July 15, 1997	Ohran, et al.	395	441
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<i>↓</i>	C	5,996,086	November 30, 1999	Delaney, et al.	714	4
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								YES	NO

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APPLICANT	Steven R. KLEIMAN		
FILING DATE	July 31, 1998	GROUP	Not Assigned 2(71)

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<i>ml</i>	A	5,067,099	11/19/91	McCown et al	364	550
<i>ml</i>	B	4,937,763	6/26/90	Mott	364	550

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								YES	NO
<i>ml</i>		0537098	4/14/93	EP	Aulden, D.	<u> </u>	<u> </u>		

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

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